SUPPORTING SCHOOLS AND STUDENTS TO ACHIEVE

SHERRI YBARRA, SUPERINTENDENT OF PUBLIC INSTRUCTION

2016-2017 Federal Programs Monitoring

New & Experienced Federal Programs Director's Meeting
September 21-22, 2016
Kathy Gauby, Title I-A Coordinator

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In this presentation, we will…

• Make a connection between the CFSGA and program monitoring
• Review the monitoring process timeline
• Review the onsite monitoring process
• Review the 2016-2017 Monitoring Tool
    – Examine how the tool is organized
• Review how to prepare documents for the monitoring visit

CFSGA Connection

Your CFSGA tells the district's and schools' program story

CFSGA Connection

CFSGA Connection

Timeline of the Overall Federal Program Monitoring Process

Spring of previous school year

Late summer/ early fall

September

October

LEAs scheduled to be monitored in new school year are notified (April/May)

LEAs are notified of monitoring dates (Aug/Sept)

Monitoring training provided at Federal Programs Director Meeting

Monitoring training is provided for all reviewers- SDE program coordinators and contract reviewers

Timeline of the Overall Federal Program Monitoring Process

October

October-March

October-March

Monitoring scheduled to begin in mid-October

Each **LEA** to be monitored submits documentation on the Monitoring Upload Tool (MUT) no later than two weeks prior to the onsite visit.

A Final Report is given at the Exit Conference at the end of the monitoring visit. The report, which is includes Recommendations and Findings/Corrective Actions is then emailed to the Superintendent and Federal Program Director.

Timeline of the Overall Federal Program Monitoring Process (continued)

Beyond the Monitoring Visit

LEA responds within 30 days with a Response Report & Documentation that includes each Finding and Corrective Action, with evidence for satisfying each finding

Program coordinators provide technical assistance as needed

After each finding has been satisfied, the SDE emails the LEA a Status Report and notification closing the monitoring visit
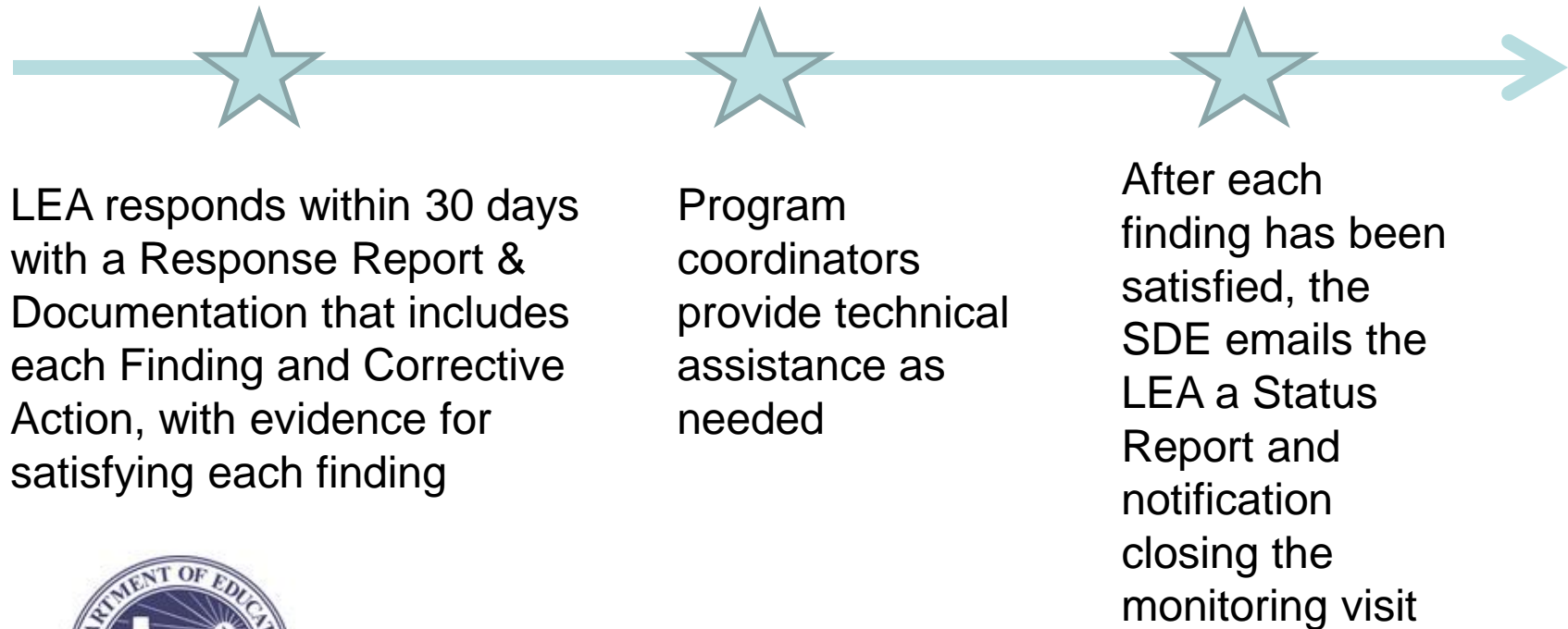
Onsite Monitoring Process
Before the visit

- Six to eight weeks prior to the onsite visit, you will receive a "monitoring reminder" notice
- Two to four weeks before the onsite visit, the SDE Title I coordinator will contact the LEA regarding a draft schedule
  - –Verify the Title I schools
  - –Verify the programs (Title I-C? Title III? Private schools?)
  - –School visits (Title I reviewers go to each Title I school)
  - –Travel time between schools
  - –The LEA Federal Program Director/Title I Coordinator works with each school to set up interview and observation schedules
  - –Anything else that needs to be worked out

NOTE: Most Title II Federal Program Monitoring for districts will be done as a desk review. Documentation will need to be uploaded in the MUT at least two weeks prior to the monitoring visit. Findings will be included in the Final Report.

Two weeks prior to the onsite visit, the LEA submits monitoring documentation to the Monitoring Upload Tool (MUT) located on the Federal Program Monitoring website at
http://www.sde.idaho.gov/federal-programs/program-monitoring/

Onsite Monitoring Process
Monitoring Upload Tool (MUT)

This site is password protected and secure

Each LEA has an account and password. After the initial login, please change the password to one which is unique to you.

Onsite Monitoring Process
Monitoring Upload Tool (MUT)
(continued)

After you log in, you will see your account information:
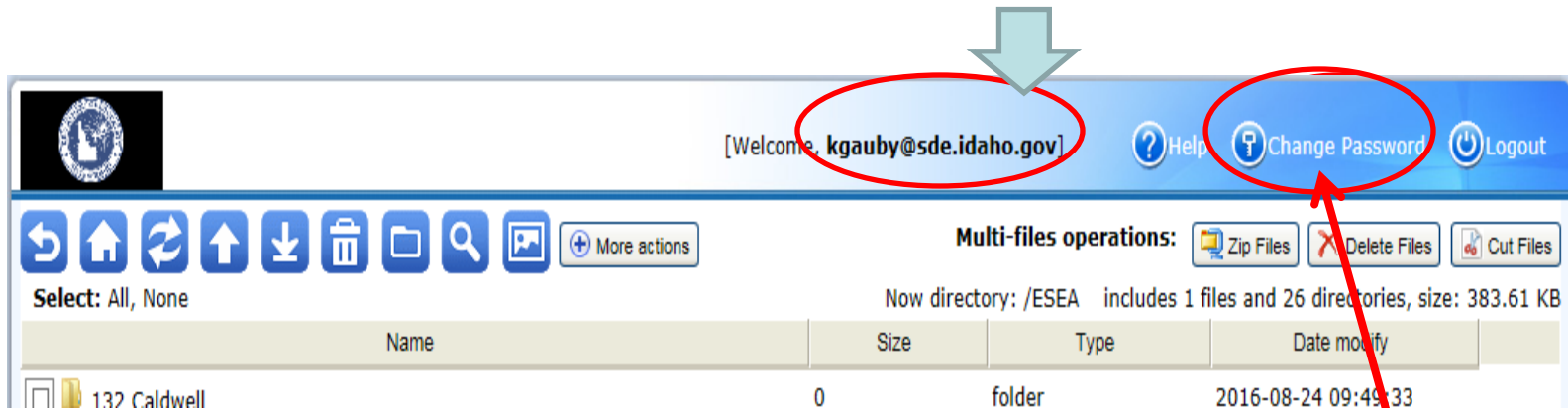
Double click on your district folder to open it. (Checking the checkbox will NOT open your folder.)
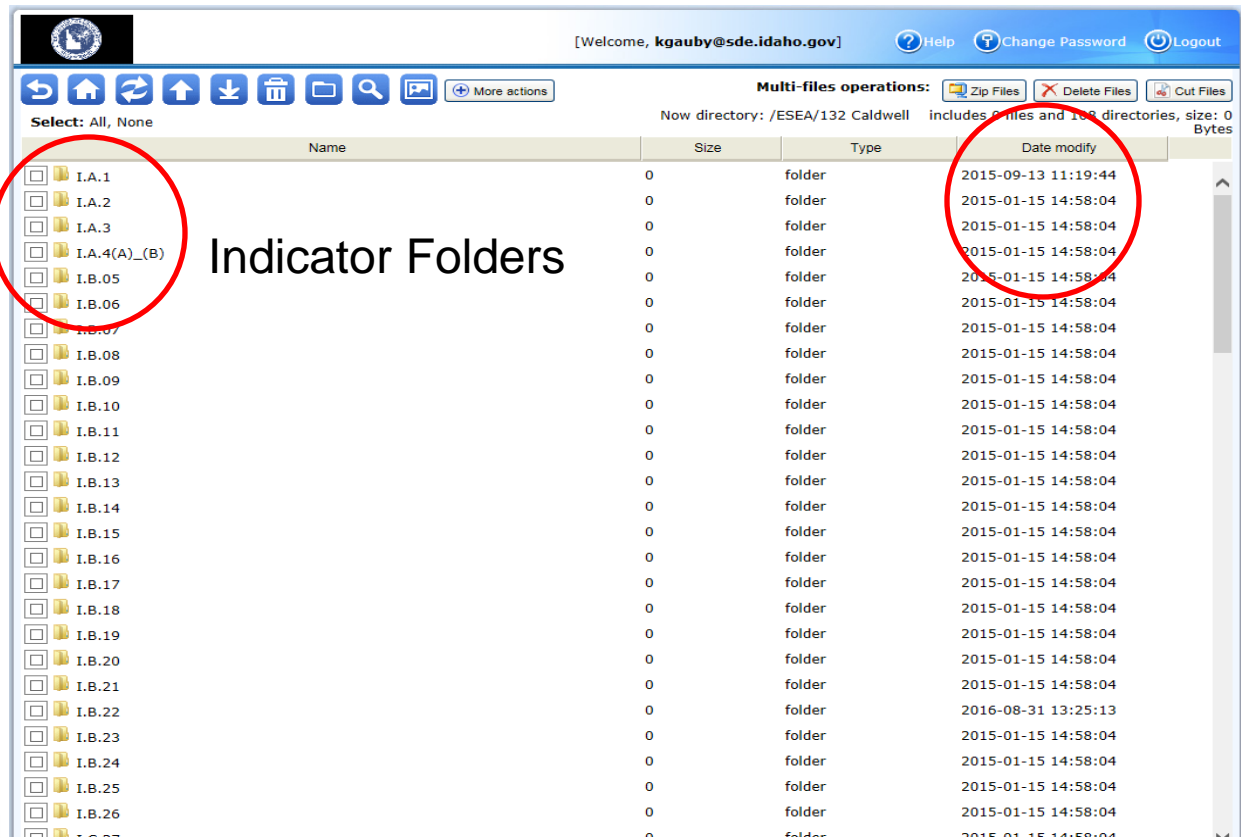
Click here to change your password

Onsite Monitoring Process
Monitoring Upload Tool (MUT)
(continued)

Onsite Monitoring Process
Monitoring Upload Tool (MUT)
(continued)

1. Scan your document
2. Save it on your computer and call it I.A.1 (or the correct indicator name)
3. Open the appropriate Indicator folder in the ESEA Federal Program Monitoring Upload Tool (for example, open the I.A.1 folder by double clicking on the folder)
4. Click the UP button

Onsite Monitoring Process
Monitoring Upload Tool (MUT)
(continued)

5. Click on the Browse link
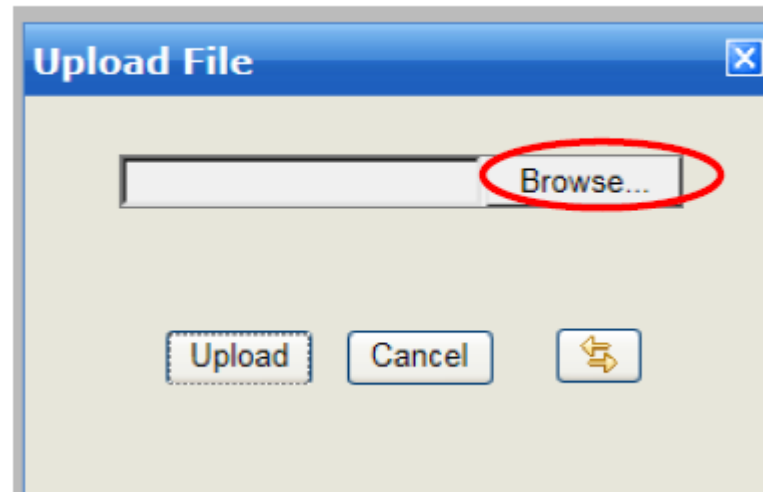
Onsite Monitoring Process
Monitoring Upload Tool (MUT)
(continued)

6. Find your document on the computer; double click it and hit the Upload button;
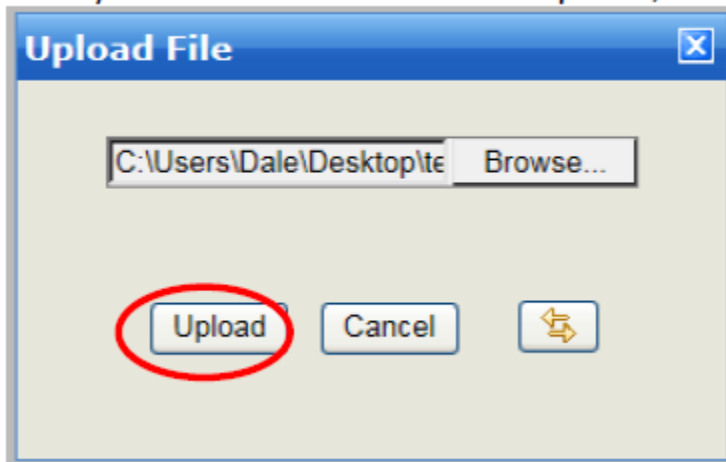
Onsite Monitoring Process
Monitoring Upload Tool (MUT)
(continued)

7. You will get an "Upload Successful" icon:
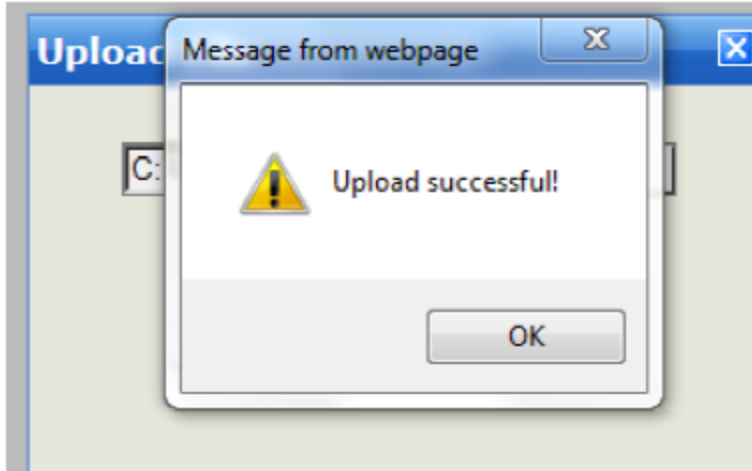
8. You have just successfully saved a document into the indicator folder!
9. Repeat for each indicator for which your LEA has programs. For example, if your LEA does not receive Migrant Education (Title I-C) funds, then you will not be monitored for those indicators and will not have any documents in those indicator folders.

Onsite Monitoring Process
Before the visit

All LEA monitoring documents need to be downloaded into the Monitoring Upload Tool (MUT) at least two weeks prior to the date of the onsite visit.

•During the two weeks prior to the onsite visit, reviewers will review all of the district documentation submitted into the MUT and satisfy indicators that have adequate documentation.

Onsite Monitoring Process
Reviewers at the District

The Onsite visit begins with an **Entrance Conference**

– Attending: Review team, Superintendent, Federal Programs
　　　　　Director, Business Manager…

– Introductions

– Monitoring process

– Last minute building interview & schedule changes, if necessary

– District reports on demographics, successes and challenges, etc.

Onsite Monitoring Process
Reviewers at the District (Cont.)

Reviewers **conduct monitoring** –

1. Title I-A, including Homeless Education:

–Interviews and observations at each Title I School:

»Principal interview

»Teacher interview (at least one core academic teacher and one intervention teacher together)

»Paraprofessional group interview

»Parent group interview

»Classroom observations – one core and one intervention

–District staff interviews: FPD, Business Manager, Homeless Education Liaison

–Private school site visit, if applicable

–Neglected/Delinquent site visit, if applicable

Onsite Monitoring Process
Reviewers at the District (Cont.)

Reviewers **conduct monitoring** –
2.Title I-C Migrant Education:
–School observations–Conduct group interview for all principals
– File review at each school that is visited (COE copy)
–Conduct District staff interviews – Migrant Director; Migrant Liaison; Business Manager
–Interview all other staff paid from Migrant funds
–Migrant student interview
–Migrant parent interview

3.Title I-D Neglected or Delinquent Program
–Site visit
–Interview the LEA contact for the site

Onsite Monitoring Process
Reviewers at the District (Cont.)

Reviewers **conduct monitoring** –

4. Title II-A Teacher and Principal Quality
–Desk review by Title II-A Coordinator (unless indicated as an onsite monitoring reviewer)

5. Title III-A Language Instruction for English Learners and Immigrant Students:
–Visit at least one elementary, one middle school, one high school for classroom observations
–Conduct group interviews (one for principals, one for teachers and/or paras)
–Conduct District staff interviews –EL Director, Business Manager
–File review at each school that is visited
–Interview EL high school students
–Interview parents of EL students

Onsite Monitoring Process
Reviewers at the District (Cont.)

Reviewers **conduct monitoring** –

6. Title VI-B – Rural and Low Income Schools
–Expenditure report will be reviewed
–Evidence that spending matches the RLIS plan

7. Title X-C – McKinney-Vento Homeless Education Program
–All staff that are interviewed are asked about homeless education training
–District designated homeless education liaison is interviewed

Onsite Monitoring Process
Reviewers at the District (Cont.)

Reviewers write Final Report

Reviewers present **Final Report** at the **Exit Conference**

– Recommendations

–Findings with Corrective Actions

- LEA has approximately 30 days to respond to any findings with supporting evidence to correct the finding(s) until all findings are satisfied.
- Once all findings have been satisfied, the LEA is notified that the monitoring visit is closed.
- Technical assistance is provided at the district level throughout the monitoring visit and continues after the team leaves as the LEA prepares its Response Report and until the visit is closed.

2016-2017 Monitoring Tool Organization

There are three major sections to the monitoring tool:
I. Program Effectiveness and Student Achievement
II. Great Teachers and Leaders
III. Transparent Accountability

And within these sections are the major federal programs:
Title I-A – Improving Basic Programs & Foster Care Program
Title I-C – Migrant Education Program
Title II-A – Supporting Effective Instruction
Title III-A –Language Instruction for English Learners &
Immigrant Students Program
Title VI-B Rural and Low-Income Schools (RLIS) Program
Title IX-A – McKinney-Vento Homeless Education Program
http://www.sde.idaho.gov/federal-programs/shared/2016-2017-Federal-Programs-Monitoring-Tool.pdf

Federal Program Monitoring Tool – Important Changes

I.A.4(A) revised   I.A.4(B) NEW
I.B.21-25 revised (McKinney Vento Homeless Education)

I.E.46 inactive   (English Learner)

I.G.51-53 inactive (School Improvement)

II.C.62-64 inactive (Teacher and Paraprofessional Qualifications)

III.A.70 inactive (English Learner)

III.A.75 revised (McKinney Vento Homeless Education)

III.F.82 revised   (Fiscal indicator)

III.F.79-83 will be monitored this year. Also, several new McKinney Vento Homeless Education Program indicators and a new Foster Care Program indicator have been added (without indicator numbers) to the monitoring tool, but will not be monitored until 2017-2018 SY.

2016-2017 Monitoring Tool Organization Section I

I. Program Effectiveness and Student Achievement
–I.A. Student Identification
–I.B. Program Needs Assessment, Services & Evaluation
–I.C. Assessment
–I.D. Paraprofessionals
–I.E. Parent Notifications and Involvement
–I.F. Immigrant Programs
–I.G. Academic Achievement
–I.H. School Improvement Grant

Within these sections are the major federal programs

2016-2017 Monitoring Tool Organization
Section I

I. Program Effectiveness and Student Achievement					
Indicator ID	Indicator	Supporting Documentation	Compliance Status		Recommendations; Findings with Corrective Action
			Yes	No	NA	
I.A.	**STUDENT IDENTIFICATION**					
Title I-A Improving Basic Programs						
I.A.1	**Targeted Assistance Schools (NCLB 1115)** All children served by Title I in a Targeted assistance building are identified as failing, or most at risk of failing to meet the State's student academic achievement standards on the basis of multiple, educationally related, objective criteria. Homeless children are eligible for Title I regardless of their attendance in a Title I served building. NCLB 1115(b)	☐ Copy of targeted rank order list that includes multiple educational objective criteria used to identify students for services. In accordance with Senate Bill 1371, the LEA must remove all personally identifiable data and/or information before submitting documentation. Targeted Assistance Program Guidance				
Title I-C Migrant Education Program						
I.A.2	The LEA accurately recruits and qualifies eligible children and youth based on the requirements the law and maintains accurate records. 1309(2-5), 1304 (c)(8)	**IDENTIFICATION & RECRUITMENT:** ☐ Evidence of attending state &, regional, ID & R training (SDE will review prior to the visit) ☐ Evidence of the LEAs Re-interviewing (satisfied with approved CFSGA) ☐ Annual Summary as evidence of the LEAs Re-interviewing (SDE will review prior to the visit) ☐ Quality Control Plan (CFSGA) ☐ Review number and severity				Quality Control Plan - SATISFIED WITH APPROVED CFSGA PLAN and EVIDENCE FROM ON SITE INTERVIEW

2016-2017 Monitoring Tool Organization
Section II

II. Great Teachers and Leaders
II.A. Program Services
II.B. Professional Development
II.C. Teacher and Paraprofessional Qualifications

Within these sections are the major federal programs

2016-2017 Monitoring Tool Organization Section II

II. Great Teachers and Leaders						
Indicator ID	**Indicator**	**Examples of Supporting Documentation**	**Compliance Status**			**Recommendations; Findings with Corrective Action**
			Yes	No	NA	
II.A	**PROGRAM SERVICES**					
Title II-A Supporting Effective Instruction						
II.A.55	Needs assessment was conducted with the involvement of teachers, including Title I-A teachers, and takes into account activities that give teachers the means, including subject matter knowledge and teaching skills, and to give principals the instructional leadership skills to help teachers provide students with the opportunity to meet academic achievement, Section 2122 (c)	☐ Evidence of local needs assessment that considers professional development and hiring needs to improve student achievement (locally created documentation, such as meeting minutes, copy of survey, student achievement data analysis, etc.) ☐ List of teachers included in developing needs assessment (CFSGA) ☐ Description of the results of the needs assessment (CFSGA)				SATISFIED WITH AN APPROVED CFSGA PLAN!
II.A.56	LEA has a professional development plan, Section 2122(a) and (b) whether or not Title II-A funds are used for professional development	Copy of district professional development plan; visit http://www.sde.idaho.gov/federal-programs/teacher/ ☐ for a sample template Evidence that the plan is aligned with the Needs Assessment				SATISFIED WITH PD PLAN UPLOADED IN CFSGA!
II.A.57	Professional development plan includes a description of how teachers, paraprofessionals, principals, other relevant school personnel, and parents have	☐ Brief description of planning process and persons involved or agenda(s) and meeting minutes				SATISFIED WITH AN APPROVED CFSGA PLAN!

2016-2017 Monitoring Tool Organization Section III

III.Transparent Accountability

–III.A. Fiscal Accountability

–III.B. Comparability

–III.C. Military Recruiter Access

–III.D. Time and Effort Distribution Records

–III.E. Written Policies and Procedures

–III.F. Record Retention and Collection and Transmission of Records and Privacy Protection

–III.G. Report Card Reporting

Within these sections are the major federal programs

2016-2017 Monitoring Tool Organization Section III

	III. Transparent Accountability					
Indicator ID	Indicator	Examples of Supporting Documentation	Compliance Status			Recommendations; Findings with Corrective Action
			Yes	No	NA	
III.A	**FISCAL ACCOUNTABILITY**					
Title I-A Improving Basic Programs						
Title I-C Migrant Education Program						
Title II-A Effective Instruction and Leadership Program						
Title III-A Language Instruction for English Learner & Immigrant Students Program						
Title VI-B Rural and Low-Income Schools (RLIS Program)						
III.A.68	**Cost Principles:** • Expenditures are maintained at the LEA for each Federal program (Title I-A, Title I-C, Title II-A, Title III-A, School Improvement Grants (SIG), and Rural and Low-Income School program (ESEA Title VI-B RLIS). • Expenditures are for allowable and approved activities. • Expenditures supplement/not supplant state and local funds. • Expenditures are 1) necessary, reasonable and allocable; 2) conform with Federal law and grant terms; 3) consistent with State and local policies; 4) consistently treated as either direct cost or an indirect cost; 5) in accordance with GAAP; and 6) are adequately (properly) documented (OMB A-87;	**Financial Reports by fund code:** ☐ Revenue and Expense Report or General Ledger - to include revenue, expenditures and remaining balance ☐ Budget Report – to include budgets and may also include actual expenses ☐ Gross Pay by Code Report – to include positions, names, and amounts ☐ Detailed Ledger Report – to include detailed expenditure transactions: type of expense, vendor name, date, and amount ☐ Budget Report for previous year if the LEA is reporting carryover in the current year ☐ Accounting report identifying positions paid in Salaries & Benefits for each Federal				

2016-2017 Monitoring Tool

Following these three major sections, are indicators for:

- Equitable Services to Private School Students

- Title I-D Prevention and Intervention Programs for Neglected, Delinquent, or At-Risk Youth

- McKinney-Vento Subgrant Recipients

Fiscal Accountability III.A.68

	III. Transparent Accountability					
Indicator ID	**Indicator**	**Examples of Supporting Documentation**	**Compliance Status**			**Recommendations; Findings with Corrective Action**
			Yes	No	NA	
III.A	**FISCAL ACCOUNTABILITY**					
Title I-A Improving Basic Programs						
Title I-C Migrant Education Program						
Title II-A Effective Instruction and Leadership Program						
Title III-A Language Instruction for English Learner & Immigrant Students Program						
Title VI-B Rural and Low-Income Schools (RLIS Program)						
III.A.68	**Cost Principles:** • Expenditures are maintained at the LEA for each Federal program (Title I-A, Title I-C, Title II-A, Title III-A, School Improvement Grants (SIG), and Rural and Low-Income School program (ESEA Title VI-B RLIS). • Expenditures are for allowable and approved activities. • Expenditures supplement/not supplant state and local funds. • Expenditures are 1) necessary, reasonable and allocable; 2) conform with Federal law and grant terms; 3) consistent with State and local policies; 4) consistently treated as either direct cost or an indirect cost; 5) in accordance with GAAP; and 6) are adequately (properly) documented (OMB A-87; Sections 1003(g); 1112; 1114; 1304(c)(1)(A), 1304(c)(6); 1306(a)(1)(B)(iii); 1306(b);2123 (b); 6222(a); 2 CFR Part 200.403). **State EL:**	**Financial Reports by fund code:** ☐ Revenue and Expense Report or General Ledger - to include revenue, expenditures and remaining balance ☐ Budget Report – to include budgets and may also include actual expenses ☐ Gross Pay by Code Report – to include positions, names, and amounts ☐ Detailed Ledger Report – to include detailed expenditure transactions: type of expense, vendor name, date, and amount ☐ Budget Report for previous year if the LEA is reporting carryover in the current year ☐ Accounting report identifying positions paid in Salaries & Benefits for each Federal program and by school for Title I-A ☐ List of all staff, including FTEs and funding sources, Required: Copy of staff breakdown-available at http://www.sde.idaho.gov/ federal-programs/program-monitoring/ ☐ Onsite interview of the business manager ☐				

Fiscal Accountability III.A.73

Title I-A Improving Basic Programs						
Title I-C Migrant Education Program						
Title II-A Effective Instruction and Leadership Program						
Title III-A Language Instruction for English Learner & Immigrant Students Program						
Title VI-B Rural and Low-Income Schools (RLIS) Program						
III.A.73	The LEA has had an audit of federal programs and audit findings have been addressed, OMB A-133	☐ Copy of "Schedule of Findings and Questioned Costs" section from district audit for last two years (Reviewer: Pay particular attention to Section III Federal Award Program Audit) ☐ Evidence that Section III, Federal Award Program Audit findings have been addressed ☐ Evidence that reasonable controls are in place (i.e. more than one signature for the purchase order process; general ledger & journal entry functions are prepared by someone different than the person who reconciles and deposits revenues, etc.) for any Federal Award Program				

Fiscal Accountability III.A.74

III.A.74	The LEA has a current inventory of any materials purchased with Federal funds, 2 CFR §200.33; 2 CFR §200.94; 2 CFR §200.20. Definitions: Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the District for financial statement purposes or $5000 (2 CFR §200.33). Supplies means all tangible personal property other than those described in §200.33 Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the District for financial statement purposes or $5000, regardless of the length of its useful life (2 CFR §200.94). Computing devices means machines used to acquire, store, analyze, process, and publish data and other information electronically, including	REVIEWERS: Monitor all three check boxes. ☐ The LEA has a written Inventory Procedure that includes the following: 1) process preformed when inventory is received; 2) process describing what type of property is tagged and what position/office performs the tagging; 3) process to adjust the inventory records in the event the property is sold, lost, or stolen, or cannot be repaired; and 4) process describing how the physical inventory is performed. ☐ For each equipment and computing device purchased with Federal funds, the following information is maintained: • Serial number or other identification number; • Source of funding for the property; • Who holds title; • Acquisition date and cost of the property; • Percentage of Federal participation in the projects costs for the			

Fiscal Accountability III.A.75

Title IX-A McKinney-Vento Homeless Education					
III.A.75 **Revised**	The LEA shall reserve such funds as are necessary to provide services comparable to those provided to children in Title I-A schools to serve— (I) homeless children and youths who do not attend participating schools, including providing educationally related support services to children in shelters and other locations where children may live." 20 U.S.C. 6313(c)(3)(A).	☐ Title I-A Budget page – Homeless Education set-aside is based on need (data analysis of needs from previous year; evidence of meeting with Title I director to determine homeless ed. needs; needs assessment has been completed and a copy on file) ☐ Evidence of budget expenditures to provide educationally related support services to children in non-Title I-A schools and shelters			

Fiscal Accountability III.B.76

III.B	COMPARABILITY						
Title I-A Improving Basic Programs							
III.B.76	The LEA meets comparability requirements, NCLB 1120A(c)(2) and (3)	☐ Copy of Comparability Report sent to SDE ☐ Documentation of comparability calculations to include 1) Enrollment numbers as of October 1 and 2) list of FTE staff as of October 1 ☐ Copy of LEA's procedure for complying with comparability requirements including timeline for demonstrating comparability, identification of responsible position making comparability calculations, measure and process used to determine whether schools are comparable, and how and when the LEA makes adjustments in schools that are not comparable.					

Time and Effort III.D.78

III.D	TIME AND EFFORT DISTRIBUTION RECORDS					
Title I-A Improving Basic Programs						
Title II-A Supporting Effective Instruction						
Title I-C Migrant Education Program						
Title III-A Language Instruction for English Learner & Immigrant Students Program						
Title VI-B Rural and Low-income Schools (RLIS) Program						
III.D.78	Charges to Federal awards for salaries and wages, including stipends, must be based on records that accurately reflect the work performed, 2 CFR §200.430, §200.403(a)	REVIEWERS: Look for documentation that includes/supports all of the following components: Time and Effort documentation for salaries and wages, including stipends must: ☐ Be supported by a system of internal controls which provides reasonable assurance that the charges are accurate, allowable, and properly allocated (i.e. signatures, periods of certification); ☐ Be incorporated into official records; ☐ Reasonably reflect total activity for which the employee is compensated, not exceeding 100% of compensated activities; ☐ Encompass both Federally assisted and all other activities compensated by the District on an integrated basis; ☐ Comply with the established accounting policies and practices of the District; and ☐ Support the distribution of the employee's salary or wages among specific activities of costs objectives. ☐ Copy of staff breakdown- available at http://www.sde.idaho.gov/federal-programs/program-monitoring/ Breakdown of Funded Staff Positions Sample				

Written Policies and Procedures III.E.79

III.E	WRITTEN POLICIES AND PROCEDURES

Title I-A Improving Basic Programs

Title II-A Supporting Effective Instruction

Title I-C Migrant Education Program

Title III-A Language Instruction for English Learner & Immigrant Students Program

Title VI-B Rural and Low-Income Schools (RLIS) Program

| III.E.79 | The LEA has written policies and procedures for time and effort requirements, 2 CFR §200.430 | ☐ 1. The LEA has a written procedure for describing time and effort requirements. (1) The LEA has a written process to include type of documentation maintained and what the requirements are for the documentation, such as who has to sign the documentation, how often the certifications are completed, whether the certifications are completed on paper or electronically, if the certification is reviewed by a supervisor, timeframe for reviewing the certification, and sample certifications; and (2) a description of the close-out procedure that is conducted at the end of the fiscal year addressing that the certifications are annually collected and reviewed for accuracy and appropriate signatures and dates.

 ☐ 2. The LEA has a written process to reconcile actual costs to budgeted distributions. Payroll charges must match the actual distribution of time recorded on the monthly certification documents. Budget estimates may be used for interim accounting purposes; however, there is a requirement to identify and enter into the records in a timely manner any significant changes in the corresponding work activity. There must be a system of internal controls to review after-the-fact interim charges made to a Federal award based on budget estimates. All necessary adjustments must be made such that the final amount charged to the Federal award is accurate, allowable, and properly allocated. The process description should include: | | | | NOTE: The new Uniform Grant Guidance became effective July 1, 2015. This is a new monitoring requirement that is effective beginning with the 2016-2017 school year.

 A user manual policy template was emailed to all LEA's January 2016. A copy of the template can be found at http://www.sde.idaho.gov/federal-programs/funding/index.html under New Uniform Grant Guidance tab.

 LEAs that are monitored during the 2016-2017 will need to be able to provide significant progress toward completing the new Uniform Grant Guidance policies and procedures. |

Written Policies and Procedures III.E.80

| III.E.80 | The LEA has written policies and procedures on file that comply with the new Uniform Grant Guidance as required by 2 CFR part 200 subparts B, C, D, E, and F, and these policies and procedures are available for inspection. | ☐ Evidence that the LEA has a manual that sets forth the policies and procedures used by the LEA to administer federal funds. The manual contains the internal controls and grant management standards used by the LEA to ensure that all federal funds are lawfully expended. It should describe in detail, the LEA's financial management system, including cash management procedures, procurement policies; inventory management protocols; procedures for determining the allowability of expenditures; time and effort reporting (see Indicator III.E.79 for details); record retention; and monitoring responsibilities. New employees of the LEA are expected to review this manual to gain familiarity and understanding of the LEAs rules and practices. | | | | NOTE: The new Uniform Grant Guidance became effective July 1, 2015. This is a new monitoring requirement that is effective beginning with the 2016-2017 school year.

A user manual policy template was emailed to all LEA's January 2016. A copy of the template can be found at http://www.sde.idaho.gov/federal-programs/funding/index.html under New Uniform Grant Guidance tab.

LEAs that are monitored during the 2016-2017 will need to be able to provide significant progress toward completing the new Uniform Grant Guidance policies and procedures. |

Record Retention and Collection and Transmission of Records and Privacy Protection III.F.81

III.F	RECORD RETENTION AND COLLECTION AND TRANSMISSION OF RECORDS AND PRIVACY PROTECTION
Title I-A Improving Basic Programs	
Title II-A Supporting Effective Instruction	
Title I-C Migrant Education Program	
Title III-A Language Instruction for English Learner & Immigrant Students Program	
Title VI-B Rural and Low-Income Schools (RLIS) Program	

| III.F.81 | For all grants, source (original source) documents are kept:
• Federal Awards CDA, Federal Award ID number;
• Authorization (the process of giving someone permission to do or have something); 3) obligations, unobligated balances (carryovers); 4) expenditures (see Indicator III.A.68); 5) assets (inventory control)(see Indicator III.A.74) ; 6) time and effort documentation (see Indictor III.D.78); 7)income (if applicable); 8) Interest (if applicable) (CFR Part 200.302(b) | ☐ The LEA has the GAN notification on file or knows where to access it in the GRA. .

☐ The LEA has internal controls in place that identify in writing: 1) Who tracks expenditures; 2) who draws down funds from the GRA; and 3) who deposits the checks.

☐ The LEA has an internal accounting system process that identifies obligations and unobligated balances (carryovers) and how these are tracked (e.g., excel or carryover calculator).

☐ The LEA has a written process for identifying any interest earned. For example, if the LEA accidentally requested from the GRA more than what was expended, then excess funds will be sitting in the LEA's account, possibly earning interest. If this is the case, this must be reported to the SDE. **Important Note:** Generally, an LEA should not earn interest because LEAs receive payments from the SDE on a reimbursement basis. | | | | NOTE: The new Uniform Grant Guidance became effective July 1, 2015. This is a new monitoring requirement that is effective beginning with the 2016-2017 school year.

A user manual policy template was emailed to all LEA's January 2016. A copy of the template can be found at http://www.sde.idaho.gov/federal-programs/funding/index.html under New Uniform Grant Guidance tab.
LEAs that are monitored during the 2016-2017 will need to be able to provide significant progress toward completing the new Uniform Grant Guidance policies and procedures. |

III.F.82 **Revised**	The LEA maintains all records that fully show (1) the amount of funds under the grant or subgrant; (2) how the subgrantee uses those funds; (3) the total cost of each project; (4) the share of the total cost of each project provided from other sources; (5) other records to facilitate an effective audit; (6) other records to show compliance with Federal program requirements; (7) project experiences and results; and (8) records are maintained for a period of five (5) years plus one audit year, which is a total of six (6) years. (34 CFR §§ 76.730-731; §§75.730-731; and §§75.732; 2 CFR §200.333.	☐ The LEA keeps records that show: (1) the amount of funds under the grant or subgrant; (2) how the subgrantee uses those funds; (3) the total cost of each project; (4) the share of the total cost of each project provided from other sources; (5) other records to facilitate an effective audit; (6) other records to show compliance with Federal program requirements; (7) project experiences and results; and (8)evidence that records are maintained for a period of five (5) years plus one audit year, which is a total of six (6) years.				NOTE: The new Uniform Grant Guidance became effective July 1, 2015. This is a new monitoring requirement that is effective beginning with the 2016-2017 school year. A user manual policy template was emailed to all LEA's January 2016. A copy of the template can be found at http://www.sde.idaho.gov/federal-programs/funding/index.html under New Uniform Grant Guidance tab. LEAs that are monitored during the 2016-2017 will need to be able to provide significant progress toward completing the new Uniform Grant Guidance policies and procedures.

Record Retention and Collection and Transmission of Records and Privacy Protection III.F.83

| III.F.83 | The LEA maintains original records. If records are electronic, there is no need to create and retain paper copies. Both types of records may be subject to periodic quality control reviews. 2 CFR 200.335

Definition: The original record is the record that remains in the same content, context, and structure that it was created the day it was used, based on the LEA's policy. If an LEA's policy is to obtain actual signatures on all Purchase Orders (POs), then all documents with original signatures must be filed and stored. If the policy allows electronic POs with digital signatures, then all electronic POs must be saved on a shared drive. | ☐ Evidence that the LEA has a written policy/procedure for maintaining and storing original records, both paper and electronic. Procedure includes reasonable safeguards for ensuring that the records are not altered. | | | | NOTE: The new Uniform Grant Guidance became effective July 1, 2015. This is a new monitoring requirement that is effective beginning with the 2016-2017 school year.

A user manual policy template was emailed to all LEA's January 2016. A copy of the template can be found at http://www.sde.idaho.gov/federal-programs/funding/index.html under New Uniform Grant Guidance tab.

LEAs that are monitored during the 2016-2017 will need to be able to provide significant progress toward completing the new Uniform Grant Guidance policies and procedures. |

Document Preparation

ORGANIZATION IS A BEAUTIFUL THING
(It Is Also Essential!)

Document Preparation: Organization is important! "What is good for kids?"

- Determine collection process – How will you organize the process?

- Organize stakeholder teams
  - It takes a village (well not quite, but you need help)
  - Include teacher/administrator from each building
  - Include business manager

- Determine needs
  - Prioritize indicators
  - Identify findings from previous monitoring visit

- Collect sign-in sheets, agendas, minutes

- Hold work sessions regularly

(Kim Bedke from Cassia County SD)

10 Helpful Tips for a Successful Monitoring Visit

1. Read ALL emails from the SDE related to monitoring
2. Ask if you don't understand…and then ask again to clarify
3. Organize stakeholders
4. Determine district and schools' needs to prepare for the monitoring visit, but also, what does your district/schools want to get out of experience?
5. Meet formally and often to keep the process going
6. Use the Monitoring Tool as a roadmap and checklist
7. Develop common vocabulary and terminology
8. Review interview questions with parents, paras, teachers, administrators
9. Empower, encourage, and improve
10. Celebrate!

Frequently Asked Questions

Q: What year data does the State look at for each program?

Q: Is Title IIA monitored for the current year or previous year?

A: Title IA, Title IC, Title IIA, Title III, Title X and RLIS look at current year data and these programs are all monitored for the current year only. A program may ask for the previous year's budget report if the current budget report does not have any expenditures.

Frequently Asked Questions

Q: If we don't get funds for a particular program, can we skip those indicators?

A: Yes and No.

For example, if the LEA does not have a Migrant Education program, it would not submit any documentation for those indicators.

However, ALL districts are responsible for McKinney-Vento Homeless Education indicators even if an LEA does not currently have any homeless students. Also, once a student is identified as homeless, you are responsible for the data for that student for the entire school year.

Frequently Asked Questions

Q: May we submit our documentation earlier than the two weeks before the federal review?

A: Yes! And Thank you!

Please make sure all your documentation is in word or pdf document form.

We are here to help!

And we look forward to a great monitoring year filled with lots of technical assistance – just ask!

Please contact us anytime!

Please make sure all of your district's contact information is updated and current in ISEE. Program contact files are processed nightly, so that SDE staff members have access to the most current district information.

Program Coordinators:

Title I-A Improving Basic Programs- Kathy Gauby: 208.332.6889 or
kgauby@sde.idaho.gov

School Improvement/Educator Effectiveness- Tyson Carter: 208.332.6917 or
tcarter@sde.idaho.gov

Family & Community Engagement- Jill Mathews: 208.332.6855 or
jmathews@sde.idaho.gov

Title I-C Migrant Education Program - Sarah Seamount: 208.332.6958 or
sseamount@sde.idaho.gov

Title I-D Neglected, Delinquent, or At-Risk- Tina Naillon: 208.332.6904 or
tmnaillon@sde.idaho.gov

Title II-A Supporting Effective Instruction- Teresa Burgess: 208.332.6891 or
tburgess@sde.idaho.gov

Program Coordinators:

Title III-A English Learner Program- Alissa Metzler- 208.332.6905 or
ametzler@sde.idaho.gov

Title VI-B Rural Education Initiative- Tina Naillon: 208.332.6904 or
tmnaillon@sde.idaho.gov

Title IX-A Homeless Education & Youths- Tina Naillon: 208.332.6904 or
tmnaillon@sde.idaho.gov

Funding & Fiscal Accountability- Elmira Feather: 208.332.6900 or
efeather@sde.idaho.gov

School Choice Coordinator- Michelle Clement Taylor: 208.332.6963 or
mtaylor@sde.idaho.gov

Program Directors:

English Learner & Migrant Education Director-
Christina Nava: 208.332.6876 or cnava@sde.idaho.gov
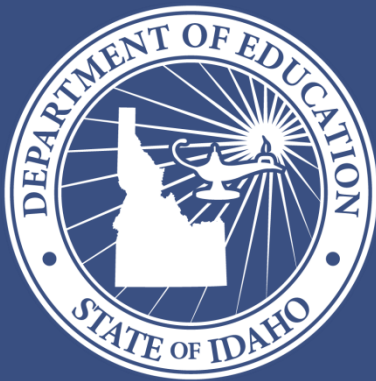
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SUPPORTING SCHOOLS AND STUDENTS TO ACHIEVE

SHERRI YBARRA, SUPERINTENDENT OF PUBLIC INSTRUCTION